

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

ATTORNEY'S DOCKET NO.

790086.406USPC

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/534,386

INTERNATIONAL APPLICATION NO.

PCT/JP2003/013579

INTERNATIONAL FILING DATE

October 23, 2003

PRIORITY DATE CLAIMED

November 8, 2002

TITLE OF INVENTION

EXPANSION AGENTS FOR STEM CELLS

APPLICANT(S) FOR DO/EO/US

Hiromitsu NAKAUCHI and Atsushi IWAMA

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76
15. ☐ A substitute specification.
16. ☒ A power of attorney and/or change of address letter (2)
17. ☒ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
18. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: Copy of Notice of Missing Requirements (PCT/DO/EO/905); Petition for an Extension of Time (One Month)

US APPLICATION NO. (If known, see 37 CFR 1.5) 10/534,386		INTERNATIONAL APPLICATION NO. PCT/JP2003/013579		ATTORNEY'S DOCKET NUMBER 790086.406USPC	
The following fees are submitted					
21. <input type="checkbox"/> Basic national fee (37 CFR 1.492(a))				\$.00
22. <input type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4).....				\$	0.00
All other situations				\$.00
23. <input type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the international preliminary examination report prepared by the IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4).....				\$	0.00
Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority				\$	100.00
International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB				\$	400.00
All other situations				\$	500.00
TOTAL OF 21, 22 AND 23 =				\$.00
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE		
- 100 =	/50 =		X \$250.00	\$.00
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).				\$.00
Claims	Number Filed	Number Extra	Rate		
Total Claims	53 - 20 =	33	x \$ 50.00	\$	1650.00
Independent Claims	17 - 3 =	14	x \$ 200.00	\$	2800.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360.00	\$	360.00
TOTAL OF ABOVE CALCULATIONS =				\$	4810.00
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.				\$	2405.00
SUBTOTAL =				\$	2405.00
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).				\$.00
TOTAL NATIONAL FEE =				\$	2405.00
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$.00
Extension of Time Fee (One Month)				\$	60.00
TOTAL FEES ENCLOSED =				\$	2465.00
12/15/2005 GFREY1 00000102 10534386				Amount to be refunded:	
01 FC:2615	825.00	OP		Amount to be Charged:	
02 FC:2614	1400.00	OP			
03 FC:2616	180.00	OP			
04 FC:2251	60.00	OP			

APPLICATION NO. (If known, see 37 CFR 1.5) 16/534,386	INTERNATIONAL APPLICATION NO. PCT/JP2003/013579	ATTORNEY'S DOCKET NUMBER 790086.406USPC
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a. ☒ A check in the amount of \$**2465** to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. **19-1090** in the amount of \$_____ to cover the above fees. A duplicate copy of this sheet is enclosed.

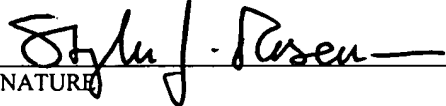
c. ☒ The Commissioner is hereby authorized to charge any deficiency in the basic national fee which may be required, or credit any overpayment to Deposit Account No. **19-1090**. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Stephen J. Rosenman, Ph.D.
Seed Intellectual Property Law Group PLLC
701 5th Avenue, Suite 6300
Seattle, WA 98104-7092
United States of America
(206) 622-4900
//


SIGNATURE

Stephen J. Rosenman, Ph.D.
NAME

43,058
REGISTRATION NUMBER

722472_1.DOC

(07/05)



UNITED STATES PATENT AND TRADEMARK OFFICE

 Exp. Mail No.:
 EVS 045087US

 UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
 Address: COMMISSIONER FOR PATENTS
 P.O. Box 1450
 Alexandria, Virginia 22313-1450
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/534,386	Hiromitsu Nakauchi	790086.406USPC

INTERNATIONAL APPLICATION NO.

PCT/JP03/13579

I.A. FILING DATE	PRIORITY DATE
10/23/2003	11/08/2002

 500
 SEED INTELLECTUAL PROPERTY LAW GROUP PLLC
 701 FIFTH AVE
 SUITE 6300
 SEATTLE, WA 98104-7092

CONFIRMATION NO. 2881

371 FORMALITIES LETTER



OC000000017114658

Date Mailed: 09/28/2005

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Indication of Small Entity Status
- Copy of the International Application filed on 05/06/2005
- Copy of the International Search Report filed on 05/06/2005
- Biochemical Sequence Listing filed on 05/06/2005
- Small Entity Statement filed on 05/06/2005
- U.S. Basic National Fees filed on 05/06/2005
- Priority Documents filed on 05/06/2005
- Power of Attorney filed on 05/06/2005
- Specification filed on 05/06/2005
- Claims filed on 05/06/2005
- Abstracts filed on 05/06/2005
- Drawings filed on 05/06/2005
- Paper Computer Listings filed on 05/06/2005

RECEIVED

SEP 30 2005

SEED INTELLECTUAL PROPERTY
LAW GROUP PLLC

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is

identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is cautioned that correction of the above items may cause the specification and drawings page count to exceed 100 pages. If the specification and drawings exceed 100 pages, applicant will need to submit the required application size fee.

For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:

- **For Rules Interpretation, call (571) 272-0951**
- **For Patentin Software Program Help, call Patent EBC at 1-866-217-9197 or directly at 703-305-3028 / 703-308-6845 between the hours of 6 a.m. and 12 midnight, Monday through Friday, EST.**
- **Send e-mail correspondence for Patentin Software Program Help @ ebc@uspto.gov**

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

SHELBY J VIGIL

Telephone: (703) 308-9140 EXT 224

PART 1 - ATTORNEY/APPLICANT COPY

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